DEPOSIT INFORMATION Bepress Mail Label No.: EV 314 910 282 US Despire Deposit: December 30, 2004 IN THE UNITED STATES PATENT AND TRADEMARK OFFICE IN THE UNITED STATES PATENT AND TRADEMARK OFFICE Present Appln. No.: 10/001,237 Filed: October 30, 2001 For: NETWORK AND METHOD FOR TRADING DERIVATIVES Attorney Docket No: 4672/363 Mail Stop Amendment Commissioner for Patents P. O. Box 1450 Alexandria, VA 22313-1450 TRANSMITTAL Sir: Attached is/are: Supplemental Information Disclosure Statement; Form PTO-1449. Return Receipt Postcard Fee calculation: No additional fee is required. Small Entity. An extension fee in an amount of \$_for amonth extension of time under 37 C.F.R. § 1.136(a). A petition or processing fee in an amount of \$_180 under 37 C.F.R. § 1.17(g). An additional filing fee has been calculated as shown below: Small Entity Not a Small Entity After Amendment Previously Paid For Extrat Rate Add1 Fee or Rate Add1 Fee Total Minus X \$ 225	Express Mail Label No.:EV 314 910 282 US Dasy of Deposit:December 30. 2004 IN THE UNITED STATES PATENT AND TRADEMARK OFFICE Examiner: F. Poinvil Art Unit: 3628 For:	DEPOSIT INFORMATION H O F E G I L SC SL 10 N		01	03-	J	,		3628
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

in re Appln. of: Neal Brady ET AL.

Appln. No.: 10/001,237

Filed: October 30, 2001

For:

NETWORK AND METHOD FOR

TRADING DERIVATIVES

Attorney Docket No: 4672/363

Examiner: F. Poinvil

Art Unit: 3628

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

In accordance with the duty of disclosure under 37 C.F.R. §1.56 and §§1.97-1.98, and more particularly in accordance with 37 C.F.R. §1.97(c), Applicants hereby cite the following reference(s):

U.S. Patent No.	Date of Publication	Patentee/Applicant/Assignee
US 2001/0032163 A1	10/18/01	Fertik et al.
US 2002/0069155 A1	06/06/02	Nafeh et al.
US 2003/0069836 A1	04/10/03	Penney et al.

Applicants are enclosing Form PTO-1449 (one sheet), along with a copy of each listed reference for which a copy is required under 37 C.F.R. §1.98(a)(2). As each of the listed references is in English, no further commentary is believed to be necessary, 37 C.F.R §1.98(a)(3). Applicants respectfully request the Examiner's consideration of the above reference(s) and entry thereof into the record of this application.

By submitting this Statement, Applicants are attempting to fully comply with the duty of candor and good faith mandated by 37 C.F.R. §1.56. As such, this Statement is not intended to constitute an admission that any of the enclosed references, or other information referred to therein, constitutes "prior art" or is otherwise "material to patentability," as that phrase is defined in 37 C.F.R. §1.56(a).

Applicants have calculated a processing fee in the amount of \$180.00 to be due under 37 C.F.R. §1.17(p) in connection with the filing of this Statement. Applicants

have enclosed a check covering this fee, or authorized charging the fee to a deposit account or credit card, as indicated in the Transmittal accompanying this Statement.

Respectfully submitted,

Jámes L. Katz (Reg. No.42,711)

Date



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FORM PTO-1949	SERIAL NO.	CASE NO.
V& TRADE SIMPLE	10/001,237	4672/363
LIST OF PATENTS AND PUBLICATIONS FOR	FILING DATE	GROUP ART UNIT
APPLICANT'S INFORMATION DISCLOSURE	October 30, 2001	2167
STATEMENT		
(use several sheets if necessary)	APPLICANT(S): Neal Brady et a	l.

REFERENCE DESIGNATION

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EXAMINER INITIAL		DOCUMENT NUMBER Number-Kind Code (if known)	DATE	NAME	CLASS/ SUBCLASS	FILING DATE
	B1	US 2001/0032163 A1	10/18/01	Fertik et al.	705/37	12/04/00
	B2	US 2002/0069155 A1	06/06/02	Nafeh et al.	705/37	08/06/01
	В3	US 2003/0069836 A1	04/10/03	Penney et al.	705/37	09/10/02

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER Number-Kind Code (if known)	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES OR NO

EXAMINER	OTHER ART – NON PATENT LITERATURE DOCUMENTS
INITIAL	(Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.
•,	symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.